

Applicant : Pedram Abrari et al.  
Serial No. : 09/994,477  
Filed : November 26, 2001  
Page : 16 of 16

Attorney's Docket No.: 11973-004001

REMARKS


As of the action mailed on March 25, 2005, claims 1-53 were pending. Of these, claims 2-5, 9-17, 23-24, 28-30, 40-44, 47, and 48 were objected to as depending from rejected base claims, but were found by the examiner to have patentable subject matter and would be allowed if rewritten in independent form including all the limitations of their respective base claims. The remaining claims were rejected.

All of the claims have been amended or cancelled so that all the remaining claims now include subject indicated by the examiner to be allowable.

Enclosed is a \$500.00 check for excess claim fees. Please apply any other charges or credits to deposit account 06-1050.

Respectfully submitted,

Date: 27 June 05

  
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Attachments following last page of this Amendment:  
Replacement Sheets (13 sheets)  
Annotated Sheets (13 sheets)

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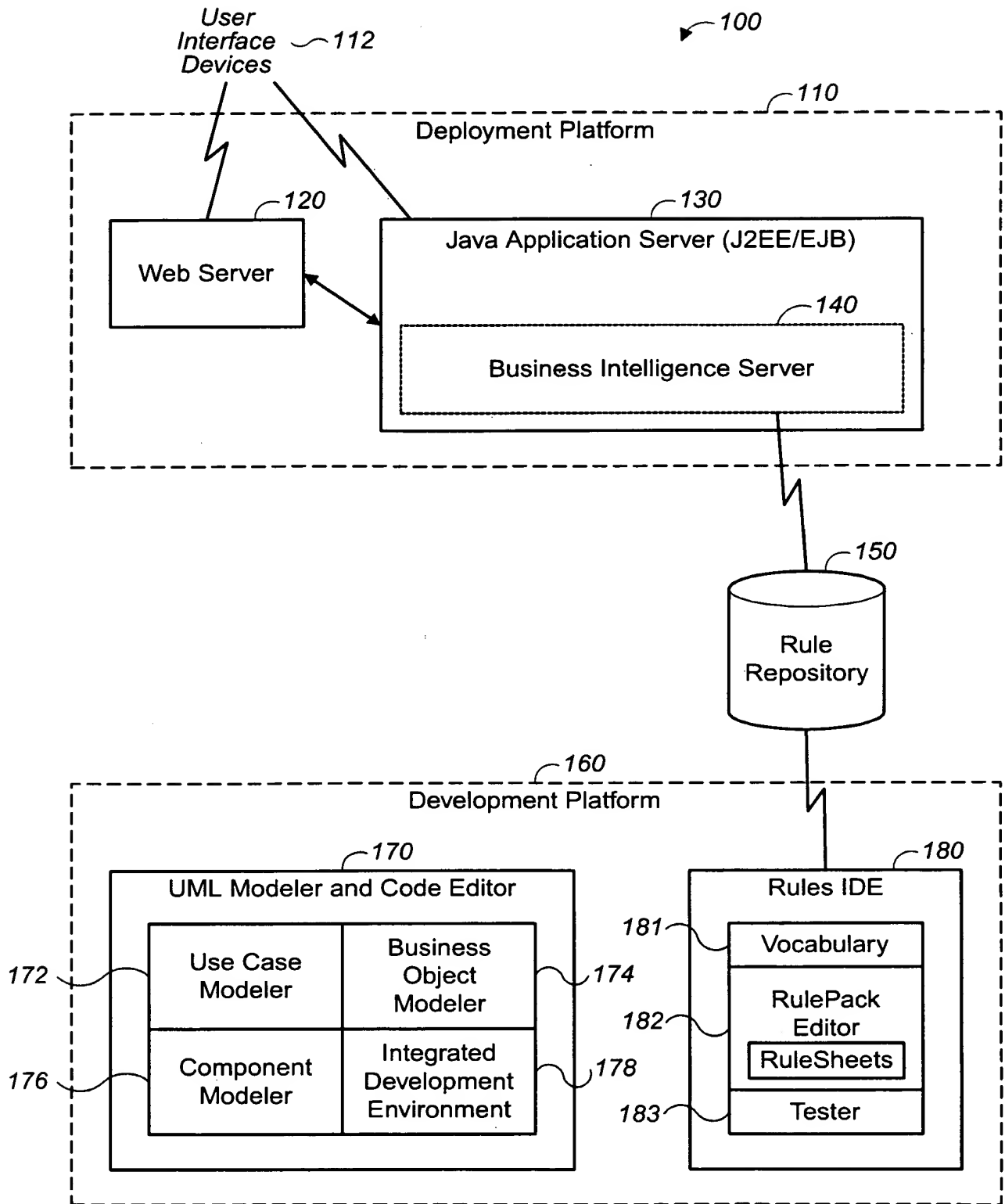
Attorney's Docket No.: 11973-004001

Amendments to the Drawings:

The attached replacement sheets of drawings includes changes to Figures 4-17 and replaces the original sheets including Figures 1-18.

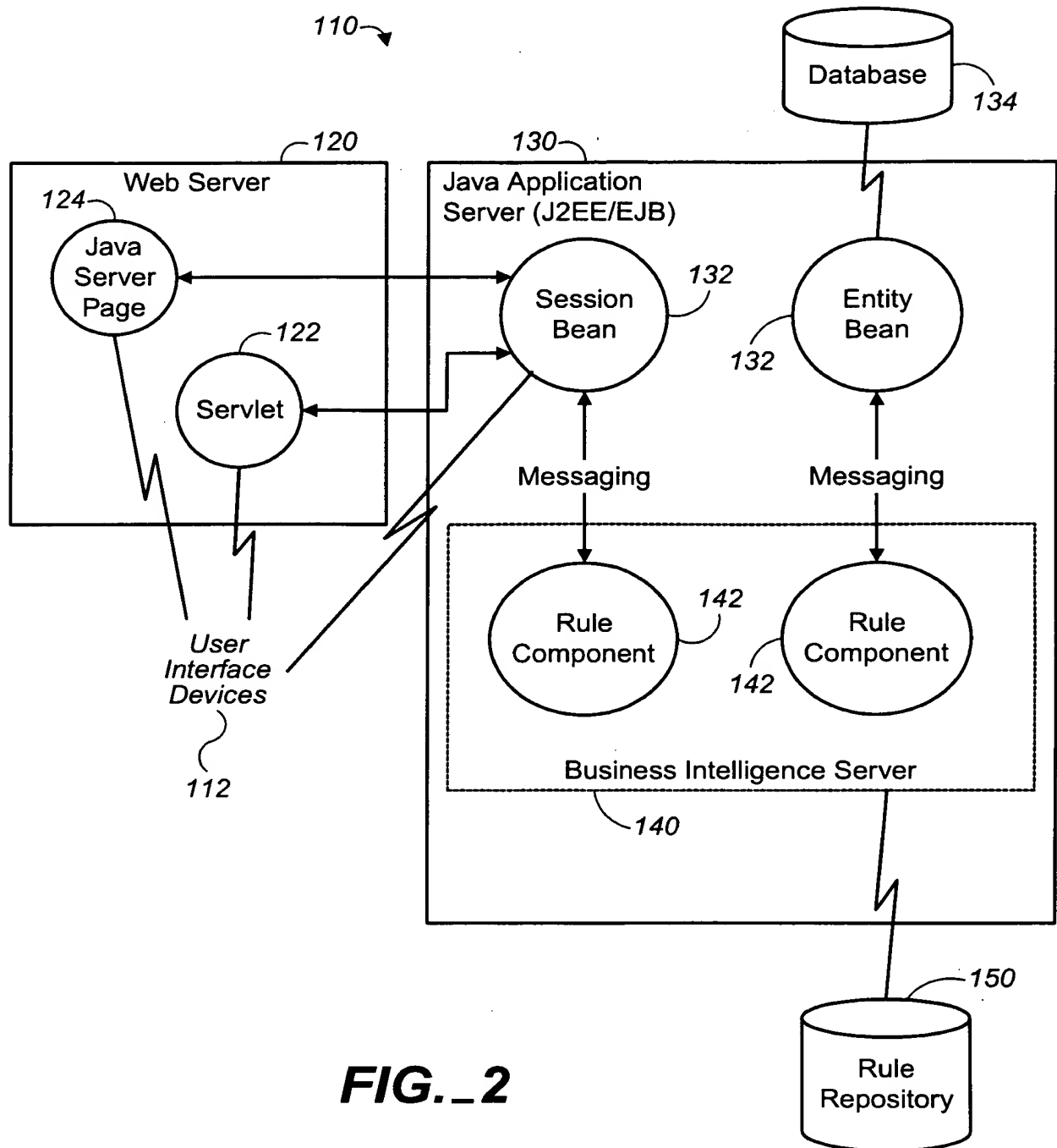
In Figures 4-17, the drawings have been formalized and are being submitted in compliance with 37 CFR 1.121(d).

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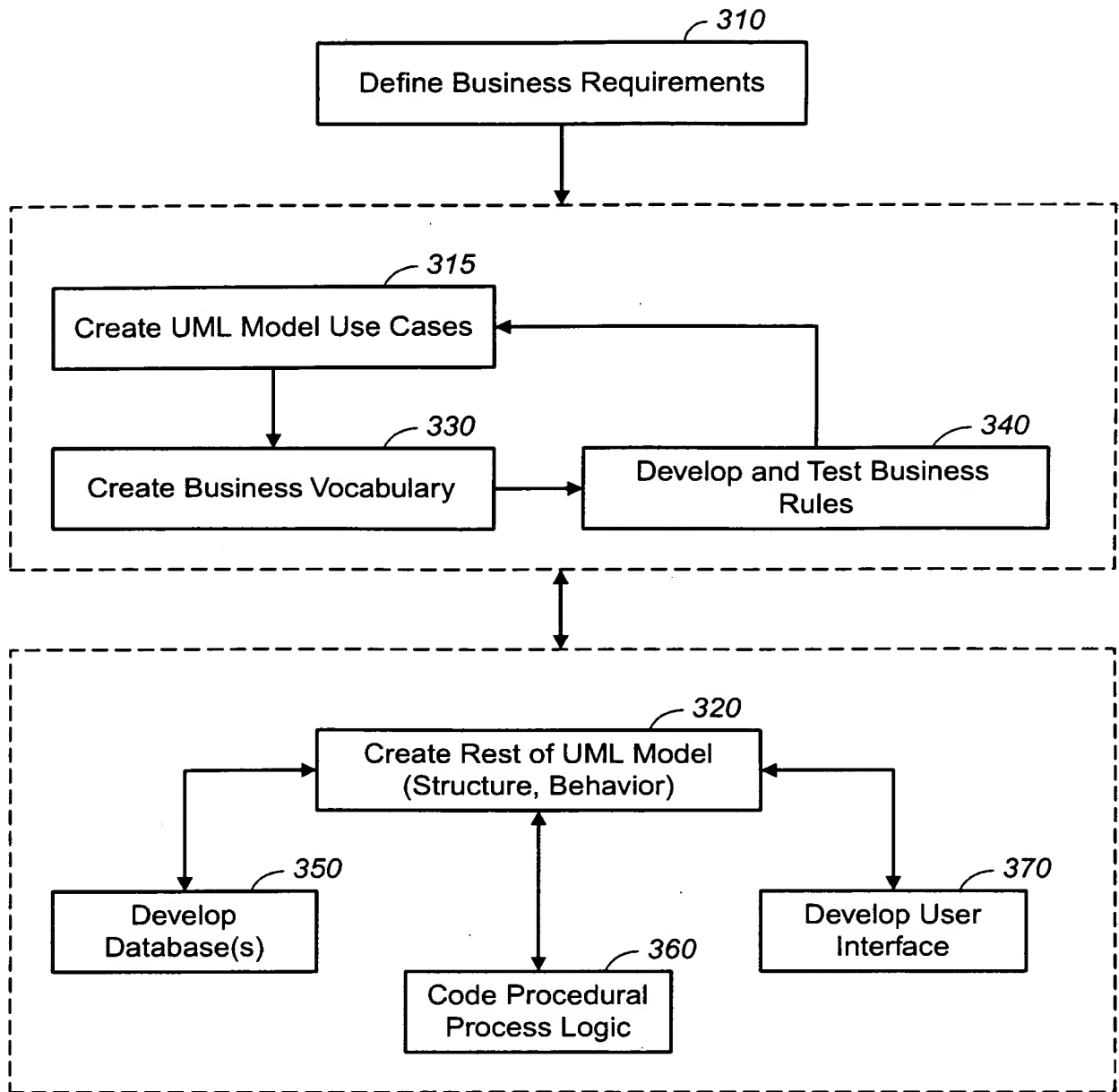
**FIG.\_1**

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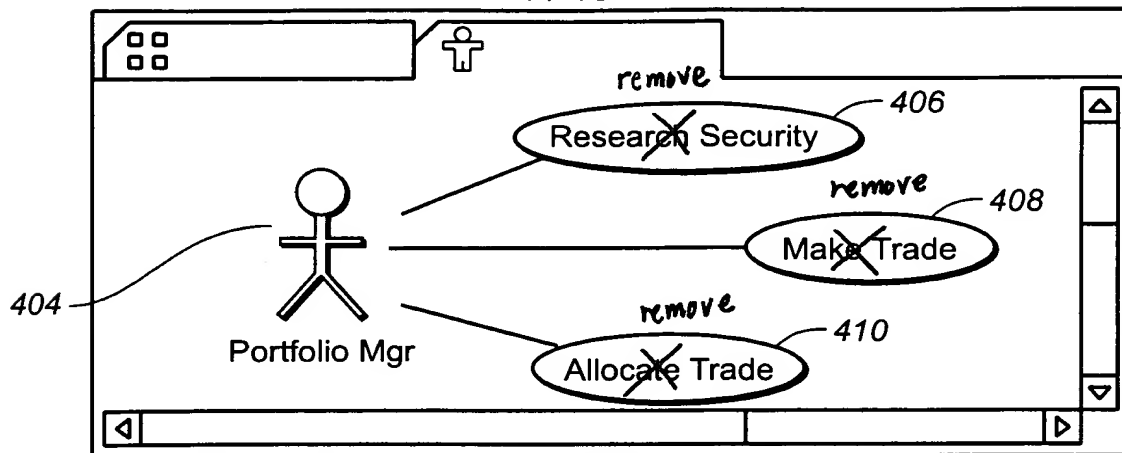
**FIG. 2**

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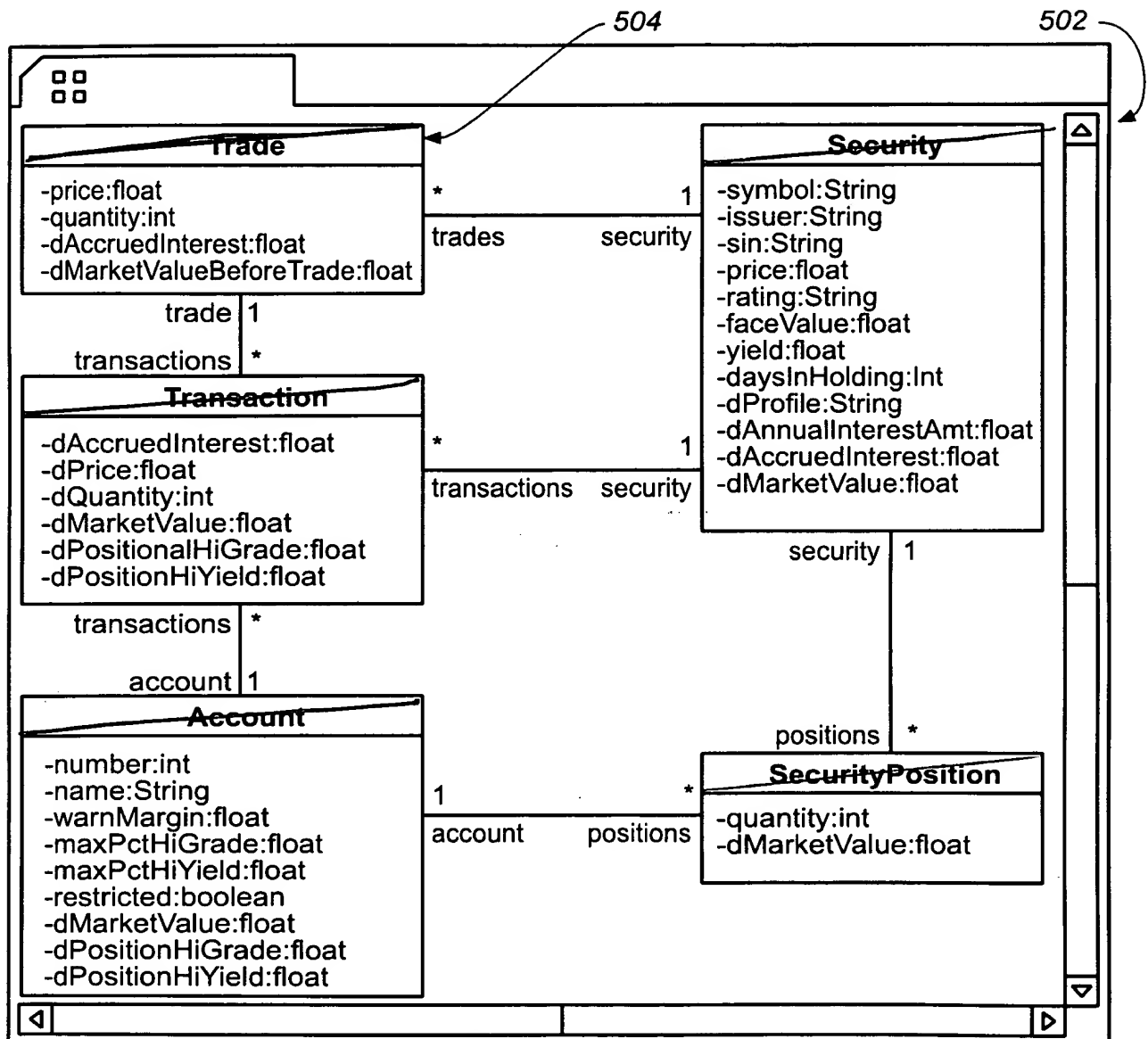


**FIG. 3**

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**FIG. 4**



**FIG. 5**

☐ Vocabulary

☐ Account  
☐ Security  
☐ SecurityPosition  
☐ Trade

☐ price  
☐ quantity  
☐ dAccruedInterest  
☐ dMarketValueBeforeTra

☐
☐
☐

☐
☐
☐

Rules

612

Conditions	Values	606
1 price	{ null, notnull }	
2 quantity	{ null, notnull }	
3		

Actions

614

postViolation	Overrides
1	

Rule Statements

616

Rule Statements	608
A Trade Price is required	
B Trade Quantity is required	

FIG.\_6

shading removed

**FIG. 7**



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Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		Overrides							
		A	B	C	D	E	F	G	
		'A'	-						
		-	>= 7						
		4							1
		A	B	C	D	E	F	G	
		'HI-GRD'	'HI-YLD'						
		808							
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
ED_SecurityPosition		ED_Account		ED_SecurityProfile		ED_Security			

FIG.\_8

FIG.\_9

Rules										
Conditions		Values								
1	rating	{ 'A', 'BBB', 'BB' }								
2	yield	{ >= 7, < 7 }								
3										
Actions		Values								
1	dProfile	{ 'HI-GRD', 'HI-YLD' }								
		Overrides								
		A.1	A.2	B.1	B.2	B.3	C	D		
		'A'	'A'	'A'	'BBB'	'BB'				
		>= 7	< 7	>= 7	>= 7	>= 7				
		4	Ambiguous with B.1							1
		A.1	A.2	B.1	B.2	B.3	C	D		
		'HI-GRD'	'HI-GRD'	'HI-YLD'	'HI-YLD'	'HI-YLD'				
		906								
Rule Statements										
A A security with a rating equal to A is considered HIGH GRADE.										
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.										
ED_SecurityPosition		ED_Account		ED_SecurityProfile		ED_Security				

+

**FIG. 10**

**FIG. 11**

Rules									
Conditions	Values	A	B	C	D	E	F	G	
1 rating	{ 'A', 'BBB', 'BB' }	'A'	-	'BBB'	'BB'				Δ
2 yield	{ >= 7, < 7 }	-	>= 7	< 7	< 7				▽
3		Δ							▷

Actions	Values	A	B	C	D	E	F	G
1 dProfile	{ 'HI-GRD', 'HI-YLD', 'DOG' }	'HI-GRD'	'HI-YLD'	'DOG'	'DOG'			
	Overrides	2						

Rule Statements	
A	A security with a rating equal to A is considered HIGH GRADE.
B	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.
C	A security with a rating lower than A and a yield lower than 7 is a DOG.

ED_SecurityPosition	ED_Account	ED_SecurityProfile	ED_Security

9 / 13

1204

Rules																																					
Conditions	Values																																				
1 rating	{ 'A', 'BBB', 'BB' }																																				
2 yield	{ >= 7, < 7 }																																				
3																																					
<table border="1"> <thead> <tr> <th>A</th> <th>B</th> <th>C</th> <th>D</th> <th>E</th> <th>F</th> <th>G</th> </tr> </thead> <tbody> <tr> <td>'A'</td> <td>-</td> <td>{ 'BBB', 'BB' }</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>-</td> <td>&gt;= 7</td> <td>&lt; 7</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="7"> <div> <div>4</div> <div>4</div> </div> </td> </tr> </tbody> </table>										A	B	C	D	E	F	G	'A'	-	{ 'BBB', 'BB' }					-	>= 7	< 7					<div> <div>4</div> <div>4</div> </div>						
A	B	C	D	E	F	G																															
'A'	-	{ 'BBB', 'BB' }																																			
-	>= 7	< 7																																			
<div> <div>4</div> <div>4</div> </div>																																					
Actions	Values																																				
1 dProfile	{ 'HI-GRD', 'HI-YLD', 'DOG' }																																				
Overrides																																					
<table border="1"> <thead> <tr> <th>A</th> <th>B</th> <th>C</th> <th>D</th> <th>E</th> <th>F</th> <th>G</th> </tr> </thead> <tbody> <tr> <td>'HI-GRD'</td> <td>'HI-YLD'</td> <td>'DOG'</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>										A	B	C	D	E	F	G	'HI-GRD'	'HI-YLD'	'DOG'					2													
A	B	C	D	E	F	G																															
'HI-GRD'	'HI-YLD'	'DOG'																																			
2																																					
Rule Statements																																					
1 A security with a rating equal to A is considered HIGH GRADE.																																					
2 A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.																																					
3 A security with a rating lower than 1 and a yield lower than 7 is a Dog																																					
<div> <div>ED_SecurityPosition</div> <div>ED_Account</div> <div>ED_SecurityProfile</div> <div>ED_Security</div> </div>																																					

FIG. 12

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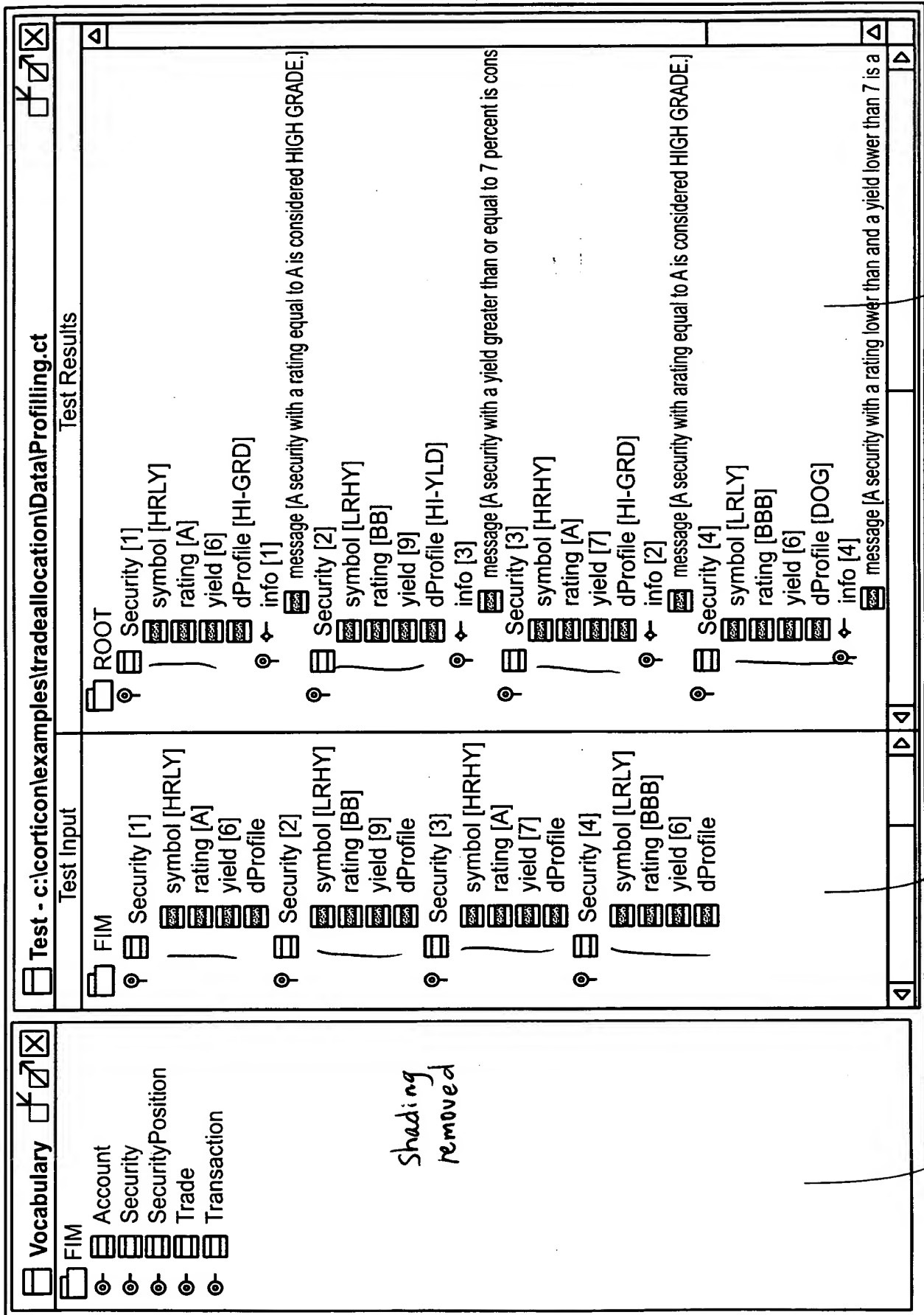


FIG. 13

1308

1306

1304

FIG. 14

Rules						
Preconditions						
1						
2						
3						
Conditions		Value Set	N/C	A	B	E
1	[Condition1]	{val1, val2}		val1		
2	[Condition2]	{val3, val4}		val3		
3						
Actions		Value Set		A	B	E
1	[Action1]		X			
2	[Action2]			X		
3						
Overrides						

1402

Shading removed

1406 1408

FIG. 15

Rules						
Preconditions						
1						
2						
	<<	Conditions		>>	<<	>>
Value	[Condition1]	[Condition2]		[Action1]	[Action2]	
Set->	{val1, val2}	{val3, val4}				Overrides
N/C				X		
A	val1	val3			X	
B						
C						
D						
E						

1502

1504

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Rules										
Preconditions										
1										
2										
Conditions										
1										F
2										
3										
Actions										
1										F
2										
3										

FIG.\_16

Overrides										
Dominant Rule										
1	A2									
2	C1									

shading removed

Expression										
Preconditions										
1										
2										
3										
Conditions										
1	[Condition1]									G
2	[Condition2]									
3	[Condition3]									
exprName	boolean									

FIG.\_17

**FIG. 18**

**FIG. 18**